



T

SECTOR  
K

PATENT

ATTORNEY DOCKET NO.: 041514-5105

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Ikuya KIKUCHI, et al. )

Application No.: 09/765,306 )

Group Art Unit: 2651

Filed: January 22, 2001 )

Examiner: Not Assigned

For: OPTICAL PICKUP APPARATUS AND  
INFORMATION RECORDING AND/OR  
REPRODUCING APPARATUS

Commissioner for Patents  
**BOX MISSING PARTS**  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

1. This replies to the Notice to File Missing Parts of Nonprovisional Application mailed March 1, 2001.

A copy of the Notice to File Missing Parts of Nonprovisional Application-Filing Date Granted is enclosed.

2. Declaration Or Oath

☒ [X] No declaration or oath was filed. Enclosed is the original Combined Declaration and Power of Attorney.

☐ [ ] The specification attached to the declaration is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

☐ [ ] The declaration or oath which was filed was determined to be defective. A new original Combined Declaration and Power of Attorney is attached.

## 3. English Translation of Non-English Language Papers

- ☐ Submitted herewith is a verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO.

Also enclosed is the Verification of Translation Document

## 4. Small Entity Statement(s)

- ☐ Verified Statement(s) that this is a filing by a small entity  
☐ is attached  
☐ was filed on \_\_\_\_\_.

## 5. Fee Calculation

Basic Fee: Patent Application-\$710.00 Design Application-\$320.00				\$ 710.00
	Number Filed	Number Extra	at a Rate of	
Total Claims	8 - 20 =	0	\$18.00 each =	+
Independent Claims	1 - 3 =	0	\$80.00 each =	0.00
Multiple dependent claim(s), if any			\$270.00	+
Missing Parts Surcharge Fee			\$130.00	+130.00
<b>SUB-TOTAL =</b>				<b>\$ 840.00</b>
Reduction by 1/2 for filing by a small entity				- \$
<b>SUB-TOTAL =</b>				<b>\$ 840.00</b>
Fee For Application Filed With A Non-English Specification (37 CFR 1.17(k) and 1.52(d))			\$130.00	+
Fee For Processing and retention of application (37 CFR 1.21(l) and 1.53(d))			\$130.00	+
<b>TOTAL FILING FEE =</b>				<b>\$840.00</b>

## 6. Extension of Time

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136(a) apply.

- ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 CFR 1.17(a)-(d), for the total number of months checked below:

<u>Total months requested</u>	<u>Fee for extension</u>	<u>[fee for Small Entity]</u>
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 390.00	\$195.00
<input type="checkbox"/> three months	\$ 890.00	\$445.00
<input type="checkbox"/> four months	\$1,390.00	\$695.00
<input type="checkbox"/> five months	\$1,890.00	\$945.00

Extension of time fee due with this request: \$0.00

If an additional extension of time is required, please consider this a Petition therefor.

- ☒ Applicant believes that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

## 7. Fee Payment

The total fee due is:	Completion Fees	<u>\$840.00</u>
	Extension Fees	<u>\$0.00</u>
	Total Fee Due	<u>\$840.00</u>

- ☒ Enclosed are two checks in the amounts of \$ 840.00 and \$ 40.00 representing the total fee due and the Assignment Recordation fee.

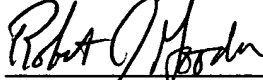
Except for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R §1.16 and §1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310.

8. Additional papers enclosed.

- ☒ Assignment Recordation Cover sheet and Assignment
- ☒ Submission of Formal Drawings and Fourteen (14) sheets of drawings
- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO-1449 with 1 reference
- ☐ Citations
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☒ Claim for Priority
- ☒ Certified copy of Japanese Patent Application No. 2000-024126 filed February 1, 2000

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

*for*  <sup>Reg. No.</sup> 41,040

John G. Smith  
Reg. No. 33,818

Date: April 23, 2001

Customer No. 009629

**MORGAN, LEWIS & BOCKIUS LLP**

1800 M Street, N.W.

Washington, D.C. 20036

(202) 467-7000



UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/765,306	01/22/2001	Ikuya Kikuchi	041514-5105

CONFIRMATION NO. 8572

FORMALITIES LETTER



\*OC00000005815696\*

MORGAN, LEWIS & BOCKIUS LLP  
1800 M Street, N.W.  
Washington, DC 20036

Date Mailed: 03/01/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 840.

*A copy of this notice MUST be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/24/2001 JADD01 00000038 09765306

01 FC:101  
02 FC:105

710.00 OP  
130.00 OP



PATENT  
ATTORNEY DOCKET NO. 041514-5105

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Ikuya KIKUCHI, et al. )  
Serial No.: 09/765,306 ) Group Art Unit: 2651  
Filed: January 22, 2001 ) Examiner: Not Assigned  
For: OPTICAL PICKUP APPARATUS AND )  
INFORMATION RECORDING AND/OR )  
REPRODUCING APPARATUS )

Commissioner for Patents  
Washington, D.C. 20231

Sir:

**SUBMISSION OF FORMAL DRAWINGS**

Filed herewith are Fourteen (14) sheets of formal patent drawings containing Twenty (20) total figures. It is requested that these drawings be made of official record in the above-identified patent application.

If there are any fees due in connection with the filing of these drawings, please charge the fees to our Deposit Account No. 50-0310. If a fee is required for an extension of time under 37 C.F.R. 1.136 not accounted for above, such an extension is requested and the fee should also be charged to our Deposit Account.

Respectfully submitted,

Morgan, Lewis & Bockius LLP

By: *Robert J. Smith* Reg. No. 41,040

*for* John G. Smith  
Reg No. 33,818

Dated: April 23, 2001